

**PATENT**  
Atty. Dkt. MRKS/0028.C1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re Application of:**  
**Bernd-Georg Pietras**

**Serial No.: 10/801,289**

**Confirmation No.: 3066**

**Filed: March 16, 2004**

**For: An Apparatus For  
Connecting Tubulars Using  
A Top Drive**

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**Group Art Unit: 3679**

Examiner: Unknown

Box RCE  
Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING**  
**37 CFR 1.8**

I hereby certify that this correspondence is being deposited on with the United States Postal Service as First Class Mail in an envelope addressed to: Box RCE, Commissioner for Patents, Washington, D.C. 20231.

26 Aug 04  
Date

Richard P. Pitter  
Signature

**Dear Sir:**

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

The Applicant, and the Attorney who signs below on the basis of the information supplied by the inventor and the information in his file, submit herewith patents, publications, or other information of which they are aware, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.


While the information submitted in this Supplemental Information Disclosure Statement may be material pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is prior art for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97, this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other possibly material information as defined under 37 CFR § 1.56(a) exists.

The patents and/or publications submitted herewith are set forth on the attached Form PTO-1449.

If the sum of \$180.00 is due under 37 CFR § 1.17(p) pursuant to § 1.97, the Commissioner is hereby authorized to charge this fee, and any other fee necessary to make this submission timely, to the Deposit Account No. 20-0782/MRKS/0028.C1/WBP

Respectfully submitted,



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Attorney for Applicant

|                                                          |  |                     |                   |
|----------------------------------------------------------|--|---------------------|-------------------|
| U.S. Department of Commerce, Patent and Trademark Office |  | Docket No.          | Serial No.        |
| (PTO Form 1449 modified)                                 |  | MRKS/0028.C1        | 10/801,289        |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>     |  | Applicant           | Confirmation No.: |
|                                                          |  | Bernd-Georg Pietras | 3066              |
| (Use several sheets if necessary)                        |  | Filing Date         | Group             |
| Examiner                                                 |  | March 16, 2004      | 3679              |

**U.S. Patent Documents**

| *Examiner Initial |     | Document Number | Issue Date | Applicant(s) Name | Class | Subclass | Filing Date If Appropriate |
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|                   | A1  | 6,431,626       | 03-13-2002 | Bouligny          | 294   | 86.25    |                            |
|                   | A2  | 6,412,554       | 07-02-2002 | Allen et al.      | 166   | 80.1     |                            |
|                   | A3  | 6,360,633       | 03-26-2002 | Pietras           | 81    | 57.34    |                            |
|                   | A4  | 6,349,764       | 02-26-2002 | Adams et al.      | 166   | 77.53    |                            |
|                   | A5  | 6,311,792       | 11-06-2001 | Scott et al.      | 175   | 162      |                            |
|                   | A6  | 6,309,002       | 10-30-2001 | Bouligny          | 294   | 86.25    |                            |
|                   | A7  | 6,199,641       | 03-13-2001 | Downie et al.     | 175   | 55       |                            |
|                   | A8  | 6,070,500       | 06-06-2000 | Blask et al.      | 81    | 57.33    |                            |
|                   | A9  | 6,056,060       | 05-02-2000 | Abrahamsen et al. | 166   | 380      |                            |
|                   | A10 | 6,000,472       | 12-14-1999 | Albright et al.   | 166   | 380      |                            |
|                   | A11 | 5,971,079       | 10-26-1999 | Mullins           | 166   | 387      |                            |
|                   | A12 | 5,909,768       | 06-08-1999 | Castille et al.   | 166   | 77.1     |                            |
|                   | A13 | 5,836,395       | 11-17-1998 | Budde             | 166   | 321      |                            |

**Foreign Patent Documents**

| *Examiner Initial |    | Document Number | Date       | Country | Class | Subclass | Translation              |                                     |
|-------------------|----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |    |                 |            |         |       |          | YES                      | NO                                  |
|                   | B1 | GB 2 357 530 A  | 06-27-2001 | U.K.    | E21B  | 19/07    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B2 | WO 00/39430     | 07-06-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B3 | WO 00/39429     | 07-06-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

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|-------------------|----|----------------------------------------------------------------------------------------------------------|
|                   | C1 | LAFLEUR PETROLEUM SERVICES, INC., "Autoseal Circulating Head," Engineering Manufacturing, 1992, 11 Pages |
|                   | C2 | Valves Wellhead Equipment Safety Systems, W-K-M Division, ACF Industries, Catalog 80, 1980, 5 Pages      |

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

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|                   | A14 | 5,803,191       | 09-08-1998 | Mackintosh        | 175   | 170      |                            |
|                   | A15 | 5,791,410       | 08-11-1998 | Castille et al.   | 166   | 77.1     |                            |
|                   | A16 | 5,735,348       | 04-07-1998 | Hawkins, III      | 166   | 285      |                            |
|                   | A17 | 5,645,131       | 07-08-1997 | Trevisani         | 175   | 171      |                            |
|                   | A18 | 5,584,343       | 12-17-1996 | Coone             | 166   | 387      |                            |
|                   | A19 | 5,577,566       | 11-26-1996 | Albright et al.   | 175   | 321      |                            |
|                   | A20 | 5,553,672       | 09-10-1996 | Smith, Jr. et al. | 166   | 382      |                            |
|                   | A21 | 5,503,234       | 04-02-1996 | Clanton           | 175   | 52       |                            |
|                   | A22 | 5,501,286       | 03-26-1996 | Berry             | 175   | 52       |                            |
|                   | A23 | 5,433,279       | 07-18-1995 | Tessari et al.    | 173   | 213      |                            |
|                   | A24 | 5,351,767       | 10-04-1994 | Stogner et al.    | 175   | 162      |                            |
|                   | A25 | 5,297,833       | 03-29-1994 | Willis et al.     | 294   | 102.2    |                            |
|                   | A26 | 5,255,751       | 10-26-1993 | Stogner           | 175   | 203      |                            |

**Foreign Patent Documents**

| *Examiner Initial |    | Document Number | Date       | Country | Class | Subclass | Translation              |                                     |
|-------------------|----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |    |                 |            |         |       |          | YES                      | NO                                  |
|                   | B4 | WO 00/11311     | 03-02-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B5 | WO 00/11310     | 03-02-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B6 | WO 00/11309     | 03-02-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

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|                   | C3 | "Canrig Top Drive Drilling Systems," Harts Petroleum Engineer International, February 1997, 2 Pages                  |
|                   | C4 | "The Original Portable Top Drive Drilling System," TESCO Drilling Technology, 1997, 1page                            |
|                   | C5 | Killalea, Mike, "Portable Top Drives: What's Driving The Market?" IADC, Drilling Contractor, September 1994, 4 Pages |

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|                   | A27 | 5,191,939       | 03-09-1993 | Stokley           | 166   | 379      |                            |
|                   | A28 | 5,036,927       | 08-06-1991 | Willis            | 175   | 162      |                            |
|                   | A29 | 5,009,265       | 04-23-1991 | Bailey et al.     | 166   | 118      |                            |
|                   | A30 | 4,997,042       | 03-05-1991 | Jordan et al.     | 166   | 379      |                            |
|                   | A31 | 4,867,236       | 09-19-1989 | Haney et al.      | 166   | 77.5     |                            |
|                   | A32 | 4,836,064       | 06-06-1989 | Slator            | 81    | 57.18    |                            |
|                   | A33 | 4,800,968       | 01-31-1989 | Shaw et al.       | 175   | 85       |                            |
|                   | A34 | 4,791,997       | 12-20-1988 | Krasnov           | 175   | 57       |                            |
|                   | A35 | 4,773,689       | 09-27-1988 | Wolters           | 294   | 88       |                            |
|                   | A36 | 4,765,401       | 08-23-1988 | Boyadjieff        | 166   | 77.53    |                            |
|                   | A37 | 4,762,187       | 08-09-1988 | Haney             | 175   | 171      |                            |
|                   | A38 | 4,759,239       | 07-26-1988 | Hamilton et al.   | 81    | 57.34    |                            |
|                   | A39 | 4,742,876       | 05-10-1988 | Barthelemy et al. | 175   | 7        |                            |

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|-------------------|----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |    |                 |            |         |       |          | YES                      | NO                                  |
|                   | B7 | WO 00/05483     | 03-02-2000 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B8 | WO 98/11322     | 03-19-1998 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B9 | WO 98/05844     | 02-12-1998 | WIPO    | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

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|                   | C7 | "500 or 650 HCIS Top Drive," Powerful Hydraulic Compact Top Drive Drilling System, TESCO Drilling Technology, April 1998, 2 Pages |

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|                   | A40 | 4,709,599       | 12-01-1987 | Buck              | 81    | 57.18    |                            |
|                   | A41 | 4,683,962       | 08-04-1987 | True              | 173   | 163      |                            |
|                   | A42 | 4,676,312       | 06-30-1987 | Mosing et al.     | 166   | 77       |                            |
|                   | A43 | 4,649,777       | 03-17-1987 | Buck              | 81    | 57.19    |                            |
|                   | A44 | 4,605,077       | 08-12-1986 | Boyadjieff        | 175   | 85       |                            |
|                   | A45 | 4,604,724       | 08-05-1986 | Shaginian et al.  | 364   | 478      |                            |
|                   | A46 | 4,593,773       | 06-10-1986 | Skeie             | 175   | 85       |                            |
|                   | A47 | 4,570,706       | 02-18-1986 | Pugnet            | 166   | 77.5     |                            |
|                   | A48 | 4,529,045       | 07-16-1985 | Boyadjieff et al. | 173   | 164      |                            |
|                   | A49 | 4,494,424       | 01-22-1985 | Bates             | 81    | 57.18    |                            |
|                   | A50 | 4,437,363       | 03-20-1984 | Haynes            | 81    | 57.18    |                            |
|                   | A51 | 4,320,915       | 03-23-1982 | Abbott et al.     | 294   | 96       |                            |
|                   | A52 | 4,100,968       | 07-18-1978 | Delano            | 166   | 315      |                            |

**Foreign Patent Documents**

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|-------------------|-----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |     |                 |            |         |       |          | YES                      | NO                                  |
|                   | B10 | WO 96/18799     | 06-20-1996 | WIPO    | E21B  | 19/06    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B11 | 0 589 823 A1    | 03-03-1994 | EP      | E21B  | 19/06    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B12 | WO 93/07358     | 04-15-1993 | WIPO    | E21B  | 37/00    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

**OTHER ART**

| *Examiner Initial |     | Including Author, Title, Date, Pertinent Pages, Etc.                                        |
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|                   | C8  | "Product Information (Sections 1-10), " CANRIG Drilling Technology, Ltd. September 18, 1996 |
|                   | C9  |                                                                                             |
|                   | C10 |                                                                                             |

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|                   | A53 | 3,848,684       | 11-19-1974 | West              | 175   | 195      |                            |
|                   | A54 | 3,776,320       | 12-04-1973 | Brown             | 173   | 163      |                            |
|                   | A55 | 3,747,675       | 07-24-1973 | Brown             | 166   | 237      |                            |
|                   | A56 | 3,691,825       | 09-19-1972 | Dyer              | 73    | 136      |                            |
|                   | A57 | 3,635,105       | 01-18-1972 | Dickmann et a.    | 81    | 57.18    |                            |
|                   | A58 | 3,570,598       | 03-16-1971 | Johnson           | 166   | 178      |                            |
|                   | A59 | 3,566,505       | 03-02-1971 | Martin            | 29    | 200      |                            |
|                   | A60 | 3,380,528       | 04-30-1968 | Timmons           | 166   | 14       |                            |
|                   | A61 | 3,193,116       | 07-06-1965 | Kenneday et al.   | 214   | 2.5      |                            |
|                   | A62 | 3,041,901       | 07-03-1962 | Knights           | 81    | 53       |                            |
|                   | A63 | 1,917,135       | 07-04-1933 | Littell           |       |          |                            |
|                   | A64 | 2002/0134555A1  | 09-26-2002 | Allen et al.      | 166   | 377      |                            |
|                   | A65 | 2001/0042625A1  | 11-22-2001 | Appleton          | 166   | 379      |                            |

**Foreign Patent Documents**

| *Examiner Initial |     | Document Number | Date       | Country | Class | Subclass | Translation              |                                     |
|-------------------|-----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |     |                 |            |         |       |          | YES                      | NO                                  |
|                   | B13 | GB 2 275 486A   | 04-15-1993 | U.K.    | E21B  | 37/00    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B14 | 0 525 247 A1    | 02-03-1993 | EP      | E21B  | 3/02     | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B15 | GB 2 224 481A   | 09-05-1990 | U.K.    | B66C  | 1/56     | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

**OTHER ART**

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|-------------------|-----|------------------------------------------------------|
|                   | C11 |                                                      |
|                   | C12 |                                                      |
|                   | C13 |                                                      |

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|-------------------|-----|-----------------|------------|-------------------|-------|----------|----------------------------|
|                   | A66 | 5,388,651       | 02/14/1995 | Berry             | 175   | 85       | 04/20/1993                 |
|                   | A67 | 5,251,709       | 10/12/1993 | Richardson        | 175   | 220      | 03/13/1992                 |
|                   | A68 | 4,878,546       | 11/07/1989 | Shaw, et al       | 173   | 163      | 02/12/1988                 |
|                   | A69 | 4,813,493       | 03/21/1989 | Shaw, et al       | 173   | 164      | 04/14/1987                 |
|                   | A70 | 4,793,422       | 12/27/1998 | Krasnov           | 175   | 57       | 03/16/1988                 |
|                   | A71 | 4,754,807       | 07/05/1988 | Lange             | 166   | 236      | 03/09/1987                 |
|                   | A72 | 4,625,796       | 12/02/1986 | Boyadjieff        | 166   | 77.5     | 04/01/1985                 |
|                   | A73 | 4,449,596       | 05/22/1984 | Boyadjieff        | 175   | 85       | 08/03/1982                 |
|                   | A74 | 3,913,687       | 10/21/1975 | Gyongyosi, et al  | 175   | 85       | 03/04/1974                 |
|                   | A75 | 3,857,450       | 12/31/1974 | Guier             | 175   | 85       | 08/02/1973                 |
|                   | A76 | 3,766,991       | 10/23/1973 | Brown             | 173   | 20       | 04/20/1971                 |

**Foreign Patent Documents**

| *Examiner Initial |     | Document Number | Date       | Country | Class | Subclass | Translation              |                                     |
|-------------------|-----|-----------------|------------|---------|-------|----------|--------------------------|-------------------------------------|
|                   |     |                 |            |         |       |          | YES                      | NO                                  |
|                   | B16 | 0 285 386 A2    | 10-05-1988 | EP      | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B17 | EP 01 62000A1   | 11-21-1985 | EP      | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B18 | 98/32948        | 07/30/1998 | WO      | E21B  | 19/16    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B19 | 98/22690        | 05/28/1998 | WO      | E21B  | 17/08    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B20 | 97/17524        | 05/15/1997 | WO      | E21B  | 43/08    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|                   | B21 | 0 659 975       | 06/28/1995 | EP      | E21B  | 43/08    |                          |                                     |
|                   | B22 | 01 171 144 A1   | 02/21/1986 | EP      | E21B  | 19/06    |                          |                                     |

**OTHER ART**

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|-------------------|-----|------------------------------------------------------|
| *Examiner Initial |     | Including Author, Title, Date, Pertinent Pages, Etc. |
|                   | C14 |                                                      |
| Examiner          |     | Date Considered                                      |

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| U.S. Department of Commerce, Patent and Trademark Office                                                                                                                                                                                  |     | Docket No.                                           |            | Serial No.        |                 |          |                            |
| (PTO Form 1449 modified)                                                                                                                                                                                                                  |     | MRKS/0028.C1                                         |            | Unknown           |                 |          |                            |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>                                                                                                                                                                                      |     | Applicant                                            |            | Confirmation No.: |                 |          |                            |
|                                                                                                                                                                                                                                           |     | Bernd-Georg Pietras                                  |            | Unknown           |                 |          |                            |
| (Use several sheets if necessary)                                                                                                                                                                                                         |     | Filing Date                                          |            | Group             |                 |          |                            |
| Examiner                                                                                                                                                                                                                                  |     | March 16, 2004                                       |            | Unknown           |                 |          |                            |
| <b>U.S. Patent Documents</b>                                                                                                                                                                                                              |     |                                                      |            |                   |                 |          |                            |
| *Examiner Initial                                                                                                                                                                                                                         |     | Document Number                                      | Issue Date | Applicant(s) Name | Class           | Subclass | Filing Date If Appropriate |
|                                                                                                                                                                                                                                           | A77 | 6,161,617                                            | 12/2000    | Gjedebo, Jon      |                 |          |                            |
|                                                                                                                                                                                                                                           | A78 | 5,839,330                                            | 11/1998    | Stokka, Arnold    |                 |          |                            |
|                                                                                                                                                                                                                                           | A79 | 4,266,444                                            | 05/1981    | Anderson, et al   |                 |          |                            |
|                                                                                                                                                                                                                                           | A80 |                                                      |            |                   |                 |          |                            |
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| <b>Foreign Patent Documents</b>                                                                                                                                                                                                           |     |                                                      |            |                   |                 |          |                            |
| *Examiner Initial                                                                                                                                                                                                                         |     | Document Number                                      | Date       | Country           | Class           | Subclass | Translation                |
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| <b>OTHER ART</b>                                                                                                                                                                                                                          |     |                                                      |            |                   |                 |          |                            |
| *Examiner Initial                                                                                                                                                                                                                         |     | Including Author, Title, Date, Pertinent Pages, Etc. |            |                   |                 |          |                            |
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| Examiner                                                                                                                                                                                                                                  |     |                                                      |            |                   | Date Considered |          |                            |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant. |     |                                                      |            |                   |                 |          |                            |